

<p style="text-align: center;">Guiding Principles Section 1210 (previously 1207) FY08 National Defense Authorization Act</p>
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1. Programs should clearly advance U.S. security interests by promoting regional stability and/or building governance capacity of foreign partners to address conflict, instability, and sources of terrorism.
2. Programs should focus on security, stabilization, or reconstruction objectives in regions and countries where a failure to act could lead to the deployment of U.S. forces.
3. Programs should be distinct from other U.S. government foreign assistance activities and address urgent or emergent threats or opportunities that conventional foreign assistance activities cannot address in the required timeframe.
4. Programs should seek to achieve short term security, stabilization or reconstruction objectives that are coordinated with longer-term development efforts and that are expected to be sustained by the host government, international organizations, or other forms of us foreign assistance.
5. Programs should address stability, security and development goals from a holistic perspective, integrating initiatives across multiple sectors.
6. While proposals may originate at Embassies, State regional bureaus, USAID, or Combatant Commands, all proposals must be closely coordinated with the affected Embassy and submitted by the Ambassador. All proposals must be cleared with the relevant Combatant Command. Those submitting proposals should consult broadly and draw in other U.S. Government components that have relevant expertise.
7. Programs should be coordinated with any U.S. security capacity building programs (e.g. NDAA Section 1206 activities) that are ongoing within the same geographical area.

Section 1210 of the National Defense Authorization Act

Proposal Submission Template

PROJECT NAME:

PROGRAM REGION/COUNTRIES/COUNTRY:

POC NAME:

POC TITLE:

E-MAIL ADDRESS:

PHONE NUMBER:

INSTRUCTIONS FOR 1210 PROPOSAL DEVELOPMENT AND SUBMISSION

1. All proposals must be submitted using this template.
2. Do not submit proposals for: fund-assessed UN contributions; programs for which an active budget request is pending in Congress; programs creating impression of end-run around appropriation process; programs previously intentionally not funded.
3. Proposals should be developed in line with the F planning framework and linked to the Mission Strategic Plan and the Joint State/USAID Strategic Plan.
4. Proposals should be unclassified if possible.
5. Proposals should name a 1210 Coordinator at Post.
6. Proposals may be originated from Embassies, Bureaus and COCOMs.
7. Proposals must be approved by the Chief of Mission and cleared with the relevant Combatant Command and State Regional Bureau.
8. DOS posts submit proposals to State Regional Bureau. Regional Bureaus will send the proposal under cover of an action memo from the Assistant Secretary to the State Coordinator for Reconstruction and Stabilization (S/CRS). Deadline for submission for the first tranche of proposals is May 1. Deadline for the second and final tranche is June 1, 2008. Also e-mail an advance copy to Peter Kranstover at KranstoverPF@state.gov.
9. S/CRS and OSD will co-chair the 1210 Technical Advisory Committee (TAC), which includes F, OSD, and J5. A representative of USAID, INL or other relevant agencies will advise the TAC as needed. The 1210 TAC will draw upon the relevant proponent groups for their expertise. The TAC will recommend proposals to Ambassador Herbst, who will recommend that the Secretary of State request the transfer of DOD funds.

SECTION I: Summary & Integration

- a. Define the stabilization issue as simply as possible and state what this project proposes to do.
- b. Explain how the Proposal is linked to the Mission Strategic Plan and the Joint State/USAID Strategic Plan
- c. Describe the interagency aspect to the project – which agencies/bureaus/offices were involved in developing the initiative, the rationale for their involvement and the process that was used to ensure interagency participation.
- d. Specifically describe how the initiative will positively impact the course of a conflict, prevent instability or speed recovery from instability, or prevent or reduce the deployment of U.S. forces.
- e. Provide a concise narrative describing how 1210 funding will address programmatic gaps critical to achieving stability-oriented goals and objectives for the country/countries/region.
- f. List and describe any additional initiative funded outside of this authority (e.g. Global Train and Equip, War on Terror, Developmental Assistance, etc) to which this project is related.
- g. Is this project dependent on other initiatives for its success? If so, list them and the lead agency, donor, or international organization.

SECTION II: Project Plan

- a. Define the goal and objectives for this initiative.
- b. Identify which host-country agency (ies) will receive these funds.
- c. Describe integration with other US development programs. Is this initiative already or partially funded?
- d. Describe ongoing/complementary host nation or international organization efforts in the target area. Is a partner nation or international organization going to contribute to this initiative?
- e. Describe what activities will be undertaken to achieve the goal and objectives in order of priority. Provide an illustrative workplan to ensure successful project monitoring and evaluation.
- f. Describe what the intended results are in terms of concrete outcomes and impact.
- g. Describe what the critical assumptions are that may impact successful implementation of the proposed initiative. (Include host nation indications of program acceptance, and other preconditions for program success)
- h. Is the project a one-time investment?
- i. If not, describe the plan for project sustainment;
 - Include an assessment of host nation ability to sustain assistance
 - Is the initiative a one-time investment, or is section 1210 authority requested as a bridge to a multi-year effort planned under traditional development assistance?
 - If initiative is a bridge to another form of assistance, has that assistance been requested in a budget for this purpose? If so, which budget year?

SECTION III: Contextual Background

- a. Provide a concise narrative describing how 1210 funding will support U.S. foreign policy and foreign assistance goals, as shown in the MSP, for the country/countries/region.
- b. Why should this requirement not be addressed using other traditional security assistance tools?
- c. Explain how this project responds to an urgent and emergent threat or opportunity that cannot wait for the normal assistance planning and budgeting process.
- d. What are the root causes of instability targeted by this project?
- e. How does this project support the priorities in the National Security Strategy and the Mission Strategic Plan?

SECTION IV: Project Monitoring and Evaluation

- a. Describe how success will be measured and at which points along the project plan these measurements are best to occur.
- b. Provide illustrative indicators of success and a rationale for them. Describe how the measures were derived. If applicable, describe how these measures contribute to approved interagency plans.
- c. Describe the process and methodology (both internal USG and external contracted support) that will be used to monitor progress towards achieving the stated goal and objectives
- d. Describe the proposed process for evaluating the success of the initiative.
- e. Describe the process that will be used to make course corrections if needed during implementation
- f. Describe how this will be an interagency process and how the interagency both in the field and at headquarters will be kept informed about progress and achievements.

Section V: Management and Coordination

- a. Within the US Government:
 - What is the management structure and plan for implementation and coordination of the initiative?
 - What is the rationale for selecting the lead agency responsible for implementation and reporting?
 - What interagency working groups/other bodies exist or will be formed to assist management and oversight?
- b. What type of organization do you envision conducting the project (e.g. USG, Contractor, NGO, etc)? What is the rationale?
- c. How will the host nation government or other institutions and organizations be involved? What is the rationale? Will formal agreements, MOUs or licensing be needed to enable implementing the agreement?
- d. What coordination, if any, will be required with regional organizations or bilateral/multilateral donors?
- e. Who will act as the 1210 Coordinator at Post?

Section VI: Budget Information

A budget must be submitted electronically with each 1210 proposal. A sample Excel budget spreadsheet is provided below to show the information required and the preferred level of detail. Instructions for completing the spreadsheet are provided below. To be considered complete, a budget must include a budget worksheet and a brief narrative explanation for the proposed budget. Budgets will be evaluated to ensure that they support achievement of the stated goals and objectives of the initiative.

Section 1210 funding is available until spent, however, the release of 1210 funding should be timed so that released funds are obligated in the fiscal year in which they are released. This insures that no 1210 funds are lost during year end closing and reapportioning activities. S/CRS will coordinate the release of 1210 funding.

Budget Worksheet Instructions

Section I – Overview

Initiative: Provide the proposed name of the initiative.

Total Initiative Cost Estimate: Total cost estimate for the duration of the initiative. Please also include a 1.5 % reservation of funds to be used for monitoring and evaluation, which will be managed by S/CRS.

Estimated Completion Date: Identify when initiative funding will be fully expended and work completed (e.g., “6 months from start of work” or “18 months after first release of funding”).

Section II – Personnel Requirements

How will management/technical advisors be funded (whether by Post or thru the initiative)?

How will the 1210 Coordinator be funded?

Identify full time or part time personnel needed to be hired for this initiative. Specify full time (FT), Part time (PT) and whether US Government (USG) or contractor (Contr.) Identify costs in Section III B, Program Management

Section III – Initiative Budget

All budget estimates should be provided in dollars.

Budget requests should be broken out into Program and Administrative budgets at a sufficient level of detail to determine if the requested funding and implementation plan will properly support the initiative.

Subsection A – Program Activities Budget

- 1) Identify each program activity (e.g., Employment Program; Judicial Assistance, etc.) and provide a short description, in priority order. This prioritization will enable review of funding by discrete activities, and should be substantiated in your budget narrative.
- 2) Outline key assumptions for each program identified in the technical initiative proposal. Examples include:
 - i. Inclusion of personnel security costs;
 - ii. Timeframe from receipt of funding to beginning of work;
 - iii. Whether existing contracts can be used, or if new contracts required;
 - iv. Evaluation activities and how they would be funded.
- 3) For each program activity, provide the budget estimate (in dollars), Bureau or Agency to receive the funds, Account Number and Name where funding is to be transferred, and suggested implementing organization (e.g., specific contractor or Agency) or description of the process and timeframe for identifying implementing organization.

Subsection B – Administrative Budget

- 1) Break out the administrative budget into broad components as outlined below.
 - a. Direct Salary and Benefits: (Estimated amount of salary and benefits for any full-time or part-time US Government personnel to be hired to administer the initiative.
 - b. Contract: (Estimated amount of funds needed to support a contractor(s) hired in-lieu of direct staff)
 - c. Other: (Estimated funds needed to support the initiative, including travel, equipment or other support costs such as communications or printing/reproduction.)
- 2) To the extent possible, determine which Bureau would receive the administrative funding, along with account number and name. Separate the total costs in the column labeled “Allocation” where funding for the same item or activity, such as travel, will be needed by more than one Bureau or Agency.

Post-Initiative Recurring Costs

If the proposed initiative will create ongoing efforts at Posts or within Bureaus or Agencies beyond discrete 1210 funding transfers, these recurring costs need to be identified and incorporated into appropriate budgets. Section 1210 funding expires upon completion of the initiative and any recurring costs need to be reflected in Post, Bureau or Agency budget requests. Examples could be new positions and the support required, ongoing vehicle maintenance costs for vehicles acquired through the initiative and left with the Post, ongoing travel and any other “normalization” of the initiative into regular development projects.

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1210 Transfer - Initiative Submission Budget Worksheet

I: Overview

Initiative
Total Cost Estimate
Estimated Completion Date

II: Personnel Requirements

Bureau/Post
Position(s)
Program Activity Supported

III: Initiative Budget	Estimate Totals	Allocation	Recipient Agency	Recipient Bureau/ Organization	Account	Short Description
<i>A: Program Activities</i>						
<i>Activity A</i>	500,000					
<i>Activity B</i>	1,000,000	500,000	State	INL	INCLE	
		500,000	USAID	DCHA/OTI	DA	
<i>Activity C</i>	2,450,000					
A: Sub-Total	3,950,000					
B: Program Management						
<i>Direct Salary</i>						
<i>Contract</i>						
<i>Other, e.g. Travel</i>						
B: Sub-Total	0					
A + B Sub-Total	3,950,000					
C: Monitoring & Eval (1.5%)	59,250	59,250	State	S/CRS	CSI	Civ. Stabiliz. Initiative - 1.5% to perform oversight and M&E
D: Initiative Total	4,009,250					

Contact information

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